

 Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	Tax Information Account 270358295	Statement Date: 01/14/2021 Document ID: 8D3H DH1 JF19	2020
	PRADEEP SADINENI 710 BEAR CLAW WAY 202 MADISON, WI 53717-2778		
PAYER'S TIN: 47-0533629	RECIPIENT'S TIN: XXX-XX-9449		

[] FATCA filing requirement (see instructions)				Summary Information			
DIVIDENDS AND DISTRIBUTIONS	2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC*	OMB No. 1545-0115		
1a- Total ordinary dividends (includes lines 1b, 5)	0.00		2- Royalties	0.00			
1b- Qualified dividends	0.00		3- Other income	0.00			
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.00		4- Federal income tax withheld	0.00			
2b- Unrecaptured Section 1250 gain	0.00		8- Substitute payments in lieu of dividends or interest	0.00			
2c- Section 1202 gain	0.00						
2d- Collectibles (28%) gain	0.00		SECTION 1256 CONTRACTS	2020 1099-B*	OMB No. 1545-0715		
3- Nondividend distributions	0.00		8- Profit or (loss) realized in 2020 on closed contracts	0.00			
4- Federal income tax withheld	0.00		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00			
5- Section 199A dividends	0.00		10- Unrealized profit or (loss) on open contracts-12/31/2020	0.00			
6- Investment expenses	0.00		11- Aggregate profit or (loss) on contracts	0.00			
8- Foreign country or US possession:	0.00						
7- Foreign tax paid:	0.00						
9- Cash liquidation distributions	0.00						
10- Noncash liquidation distributions	0.00						
11- Exempt-interest dividends (includes line 12)	0.00						
12- Specified private activity bond interest dividends (AMT)	0.00						

If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.

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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	1,526,964.80	1,628,903.14	0.00	83,615.34	-18,323.00
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	1,526,964.80	1,628,903.14	0.00	83,615.34	-18,323.00
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	1,526,964.80	1,628,903.14	0.00	83,615.34	-18,323.00
Withholding		Amount				
	Federal income tax withheld	0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2020 may require an amended tax form.

TD Ameritrade Clearing, Inc.

Account 270358295

Summary Information

2020

(continued)

01/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.13
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

STATE TAX WITHHELD

Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	314.90
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 270358295

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

01/14/2021

Sales transactions are grouped by their term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, proceeds and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

Long positions are reported based on the trade date and short positions are reported based on the settlement date of the trade.

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AIRNET TECHNOLOGY INC ADR / CUSIP: 00941Q104 / Symbol: ANTE							
10/22/20	1,005.000	1,318.89	Various	1,366.80	...	-47.91	Total of 2 transactions
ALTIMMUNE INC COM / CUSIP: 02155H200 / Symbol: ALT							
06/26/20	501.000	5,009.93	06/26/20	5,761.50	...	-751.57	Sale
AMAZON COM INC COM / CUSIP: 023135106 / Symbol: AMZN							
11/27/20	3.000	9,614.79	11/25/20	9,467.81	...	146.98	Sale
APPLE INC COM / CUSIP: 037833100 / Symbol: AAPL							
08/21/20	34.000	16,137.74	08/17/20	15,694.40	...	443.34	Sale
08/31/20	480.000	61,867.77	Various	58,788.31	...	3,079.46	Total of 5 transactions
	Security total:	78,005.51		74,482.71	...	3,522.80	
APTEVO THERAPEUTICS INC COM / CUSIP: 03835L207 / Symbol: APVO							
06/26/20	157.000	1,219.86	06/26/20	1,737.23	...	-517.37	Sale
06/26/20	848.000	6,614.15	06/26/20	8,055.12	266.95 W	-1,174.02	Sale
	Security total:	7,834.01		9,792.35	266.95 W	-1,691.39	
AURORA CANNABIS INC COM / CUSIP: 05156X884 / Symbol: ACB							
09/23/20	3,003.000	16,065.35	09/23/20	16,305.99	...	-240.64	Sale
AYRO INC COM / CUSIP: 054748108 / Symbol: AYRO							
11/23/20	132.000	1,227.56	11/20/20	1,062.60	...	164.96	Sale

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Account 270358295

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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BED BATH AND BEYOND COM / CUSIP: 075896100 / Symbol: BBBY							
06/26/20	1,005.000	10,403.92	Various	10,481.55	...	-77.63	Total of 2 transactions
BELLUS HEALTH INC COM / CUSIP: 07987C204 / Symbol: BLU							
07/08/20	2,600.000	8,189.50	07/06/20	7,155.00	...	1,034.50	Sale
BIOCRYST PHARMACEUTICALS INC COM / CUSIP: 09058V103 / Symbol: BCRX							
06/26/20	501.000	2,354.59	06/26/20	2,369.73	...	-15.14	Sale
BIOHITECH GLOBAL INC COM / CUSIP: 09074B107 / Symbol: BHTG							
06/29/20	7,008.000	26,628.99	06/29/20	21,374.40	...	5,254.59	Sale
BLINK CHARGING CO COM / CUSIP: 09354A100 / Symbol: BLNK							
06/30/20	1,500.000	9,074.62	06/30/20	9,142.92	...	-68.30	Sale
BROADWAY FINL (DEL) COM / CUSIP: 111444105 / Symbol: BYFC							
06/30/20	32.000	92.80	06/30/20	97.92	...	-5.12	Sale
11/27/20	204.000	379.78	11/25/20	403.90	...	-24.12	Sale
	Security total:	472.58		501.82	...	-29.24	
CPS TECHNOLOGIES CORPORATION COM / CUSIP: 12619F104 / Symbol: CPSH							
11/24/20	501.000	1,527.96	11/23/20	1,372.69	...	155.27	Sale
CARNIVAL CORP UNITS / CUSIP: 143658300 / Symbol: CCL							
11/16/20	802.000	13,906.27	11/16/20	13,754.30	...	151.97	Sale
CLEVELAND BIOLABS INC COM / CUSIP: 185860202 / Symbol: CBLI							
06/26/20	501.000	1,302.51	06/26/20	1,317.63	...	-15.12	Sale
CYTODYN INC COM / CUSIP: 23283M101 / Symbol: CYDY							
06/26/20	2,903.000	20,523.42	06/26/20	20,472.87	...	50.55	Sale
06/26/20	100.000	702.02	06/26/20	705.23	3.21 W	0.00	Sale
06/30/20	2,506.000	24,518.35	Various	23,638.64	...	879.71	Total of 2 transactions
	Security total:	45,743.79		44,816.74	3.21 W	930.26	
DYNAVAX TECHNOLOGIES CORP COM / CUSIP: 268158201 / Symbol: DVAX							
06/30/20	1,005.000	9,044.68	06/30/20	8,944.40	...	100.28	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ELECTRAMECCANICA VEHS CORP COM / CUSIP: 284849205 / Symbol: SOLO							
11/05/20	2,700.000	9,989.48	11/05/20	9,277.50	...	711.98	Sale
11/05/20	2,004.000	7,274.12	11/05/20	7,535.04	196.08 W	-64.84	Sale
11/13/20	1,005.000	6,774.44	Various	7,244.24	...	-469.80	Total of 2 transactions
11/20/20	301.000	2,918.69	Various	2,377.96	...	540.73	Total of 2 transactions
11/23/20	200.000	1,940.95	Various	1,580.04	...	360.91	Total of 2 transactions
	Security total:	28,897.68		28,014.78	196.08 W	1,078.98	
ELECTROCORE INC COM / CUSIP: 28531P103 / Symbol: ECOR							
07/13/20	3,803.000	11,978.74	07/13/20	12,559.99	...	-581.25	Sale
EVERSPIN TECHNOLOGIES INC COM / CUSIP: 30041T104 / Symbol: MRAM							
06/30/20	4,600.000	32,854.69	Various	32,326.44	...	528.25	Total of 7 transactions
06/30/20	500.000	3,634.86	06/30/20	3,585.20	6.53 W	56.19	Sale
	Security total:	36,489.55		35,911.64	6.53 W	584.44	
FACEBOOK INC COM CL A / CUSIP: 30303M102 / Symbol: FB							
06/29/20	204.000	42,511.84	Various	45,300.24	...	-2,788.40	Total of 2 transactions
GULFPORT ENERGY CORP COM / CUSIP: 402635304 / Symbol: GPORQ							
11/05/20	5,001.000	1,354.14	10/21/20	1,777.94	423.80 W	0.00	Sale
11/23/20	5,001.000	699.02	11/20/20	1,159.16	...	-460.14	Sale
	Security total:	2,053.16		2,937.10	423.80 W	-460.14	
HENNESSY CAP ACQUISITION CORP 1:1 EXC 12/22/20 13803R102 / CUSIP: 42589C104 / Symbol:							
11/23/20	204.000	2,246.94	Various	2,305.20	58.26 W	0.00	Total of 2 transactions
11/30/20	402.000	5,672.04	11/27/20	5,103.36	...	568.68	Sale
	Security total:	7,918.98		7,408.56	58.26 W	568.68	
HERTZ GLOBAL HOLDINGS INC COM / CUSIP: 42806J106 / Symbol: HTZGQ							
06/25/20	1,046.000	1,966.33	06/24/20	2,135.60	...	-169.27	Sale
06/25/20	3,361.000	6,351.76	06/24/20	6,675.86	104.76 W	-219.34	Sale
	Security total:	8,318.09		8,811.46	104.76 W	-388.61	

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Account 270358295

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
IBIO INC COM / CUSIP: 451033203 / Symbol: IBIO							
06/26/20	3,003.000	7,657.12	06/26/20	8,448.74	...	-791.62	Sale
06/26/20	8,006.000	19,693.80	Various	21,736.60	1,422.72 W	-620.08	Total of 2 transactions
	Security total:	27,350.92		30,185.34	1,422.72 W	-1,411.70	
IDEANOMICS INC COM / CUSIP: 45166V106 / Symbol: IDEX							
11/25/20	1,302.000	3,274.30	11/24/20	4,217.72	...	-943.42	Sale
INOVIO PHARMACEUTICALS INC COM / CUSIP: 45773H201 / Symbol: INO							
07/01/20	502.000	12,293.65	06/30/20	16,482.78	...	-4,189.13	Sale
07/01/20	500.000	12,299.67	06/30/20	14,675.00	2,375.33 W	0.00	Sale
	Security total:	24,593.32		31,157.78	2,375.33 W	-4,189.13	
LUCKIN COFFEE INC ADR SPONSORED / CUSIP: 54951L109 / Symbol: LKNCY							
06/26/20	3,003.000	4,808.34	Various	4,294.29	...	514.05	Total of 2 transactions
MEDICAL MARIJUANA INC COM / CUSIP: 58463A105 / Symbol: MJNA							
12/03/20	36,000.000	759.14	12/02/20	762.95	...	-3.81	Sale
MEDIGUS ADR SPONSORED / CUSIP: 58471G300 / Symbol: MDGS							
11/23/20	456.000	1,595.91	11/19/20	1,142.28	...	453.63	Sale
MICROBOT MEDICAL INC COM / CUSIP: 59503A204 / Symbol: MBOT							
08/17/20	1,501.000	17,861.33	08/17/20	17,805.90	...	55.43	Sale
MYOS RENS TECHNOLOGY INC 1:12 R/S 11/18/20 58406B103 / CUSIP: 62857P108 / Symbol:							
07/01/20	4,500.000	14,324.17	Various	14,385.45	...	-61.28	Total of 3 transactions
07/01/20	3,000.000	9,749.42	Various	9,900.29	150.87 W	0.00	Total of 2 transactions
	Security total:	24,073.59		24,285.74	150.87 W	-61.28	
NIO INC ADR / CUSIP: 62914V106 / Symbol: NIO							
06/30/20	3,003.000	21,891.04	06/30/20	21,981.18	90.14 W	0.00	Sale
07/13/20	1,005.000	15,345.89	07/08/20	14,030.08	...	1,315.81	Sale
07/21/20	1,806.000	23,206.38	07/20/20	23,180.51	...	25.87	Sale
07/22/20	970.000	11,993.66	07/21/20	12,501.75	...	-508.09	Sale
08/17/20	910.000	11,811.55	Various	11,733.47	...	78.08	Total of 3 transactions
11/06/20	330.000	13,463.66	11/06/20	13,163.70	...	299.96	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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NIO INC ADR / CUSIP: 62914V106 / Symbol: NIO (cont'd)							
11/09/20	100.000	4,504.89	11/06/20	4,115.00	...	389.89	Sale
11/13/20	258.000	13,157.68	11/06/20	10,616.70	...	2,540.98	Sale
11/16/20	201.000	8,733.24	11/13/20	10,492.20	1,758.96 W	0.00	Sale
11/17/20	140.000	6,889.27	11/16/20	6,580.00	...	309.27	Sale
11/18/20	217.000	9,534.74	11/16/20	11,957.96	...	-2,423.22	Sale
	Security total:	140,532.00		140,352.55	1,849.10 W	2,028.55	
NEXTERA ENERGY INC COM / CUSIP: 65339F101 / Symbol: NEE							
10/28/20	6.000	450.89	10/27/20	460.68	9.79 W	0.00	Sale
11/05/20	90.000	6,803.85	10/27/20	6,919.33	...	-115.48	Sale
	Security total:	7,254.74		7,380.01	9.79 W	-115.48	
NIU TECHNOLOGIES ADR / CUSIP: 65481N100 / Symbol: NIU							
11/20/20	303.000	10,604.73	11/19/20	9,817.17	...	787.56	Sale
11/23/20	204.000	6,580.87	11/20/20	7,236.90	...	-656.03	Sale
	Security total:	17,185.60		17,054.07	...	131.53	
NOVAVAX INC COM / CUSIP: 670002401 / Symbol: NVAX							
06/24/20	450.000	34,342.87	Various	34,211.28	...	131.59	Total of 4 transactions
06/25/20	303.000	26,036.42	Various	24,543.00	...	1,493.42	Total of 2 transactions
	Security total:	60,379.29		58,754.28	...	1,625.01	
OCEAN POWER TECHNOLOGIES INC COM / CUSIP: 674870506 / Symbol: OPTT							
11/24/20	801.000	2,383.98	Various	2,009.60	...	374.38	Total of 2 transactions
PLYZER TECHNOLOGIES INC COM / CUSIP: 73016P103 / Symbol: PLYZ							
12/09/20	505,001.000	492.09	12/08/20	772.40	...	-280.31	Sale
RADIANT TECHNOLOGIES INC COM / CUSIP: 75034P106 / Symbol: RDDTF							
12/03/20	7,005.000	521.09	11/30/20	626.08	...	-104.99	Sale
SG BLOCKS INC COM / CUSIP: 78418A505 / Symbol: SGBX							
11/23/20	105.000	305.53	11/20/20	292.95	...	12.58	Sale

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TD Ameritrade Clearing, Inc.

Account 270358295

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
SAP SE ADR SPONSORED / CUSIP: 803054204 / Symbol: SAP							
10/27/20	51.000	6,066.31	10/26/20	6,029.73	...	36.58	Sale
11/05/20	81.000	9,340.30	10/26/20	9,576.13	...	-235.83	Sale
	Security total:	15,406.61		15,605.86	...	-199.25	
SNOWFLAKE INC COM CL A / CUSIP: 833445109 / Symbol: SNOW							
11/20/20	20.000	5,304.08	11/19/20	5,270.00	...	34.08	Sale
SOCIAL LIFE NETWORK INC COM / CUSIP: 83362T104 / Symbol: WDLF							
12/08/20	222,005.000	951.70	Various	881.72	...	69.98	Total of 2 transactions
SUNDIAL GROWERS INC COM / CUSIP: 86730L109 / Symbol: SNDL							
12/01/20	1,320.000	923.82	12/01/20	1,187.87	...	-264.05	Sale
SUNWORKS INC COM / CUSIP: 86803X204 / Symbol: SUNW							
11/24/20	501.000	3,694.74	11/23/20	3,086.11	...	608.63	Sale
TELIGENT INC NEW COM / CUSIP: 87960W203 / Symbol: TLGT							
10/30/20	1,005.000	592.82	10/22/20	1,236.15	...	-643.33	Sale
TESORO ENTERPRISES INC COM / CUSIP: 881608103 / Symbol: TSNP							
12/01/20	29,179.000	6,421.29	Various	5,496.89	...	924.40	Total of 3 transactions
12/02/20	3,000.000	405.18	12/02/20	399.07	...	6.11	Sale
12/07/20	102,256.000	30,350.90	Various	23,440.01	40.73 W	6,951.62	Total of 3 transactions
	Security total:	37,177.37		29,335.97	40.73 W	7,882.13	
TESLA INC COM / CUSIP: 88160R101 / Symbol: TSLA							
08/31/20	120.000	55,732.06	Various	50,502.00	...	5,230.06	Total of 6 transactions
09/01/20	6.000	2,998.94	Various	2,886.00	...	112.94	Total of 2 transactions
09/01/20	234.000	115,225.10	Various	115,897.52	1,224.52 W	552.10	Total of 4 transactions
09/02/20	7.000	3,341.73	09/01/20	3,380.57	38.84 W	0.00	Sale
09/03/20	10.000	4,189.91	09/01/20	4,829.40	639.49 W	0.00	Sale
09/04/20	90.000	33,929.24	09/01/20	44,003.49	10,074.25 W	0.00	Sale
09/08/20	87.000	28,516.14	Various	41,182.10	12,665.96 W	0.00	Total of 2 transactions
09/10/20	56.000	21,615.51	09/09/20	25,233.04	3,617.53 W	0.00	Sale
09/14/20	68.000	27,335.39	09/10/20	37,684.70	10,349.31 W	0.00	Sale
09/15/20	73.000	32,849.56	Various	35,790.65	3,162.91 W	221.82	Total of 2 transactions

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TD Ameritrade Clearing, Inc.

Account 270358295

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TESLA INC COM / CUSIP: 88160R101 / Symbol: TSLA (cont'd)							
09/16/20	82.000	36,079.19	09/15/20	46,275.25	10,196.06 W	0.00	Sale
09/17/20	77.000	31,646.29	09/16/20	45,095.26	13,448.97 W	0.00	Sale
09/21/20	62.000	27,930.37	09/18/20	32,970.15	4,239.76 W	-800.02	Sale
09/23/20	66.000	25,409.44	09/21/20	38,627.28	...	-13,217.84	Sale
10/21/20	37.000	15,614.39	10/21/20	19,097.29	...	-3,482.90	Sale
	Security total:	462,413.26		543,454.70	69,657.60 W	-11,383.84	
TORTOISE ACQUISITION CORP 1:1 EXC 10/2/20 449109107 / CUSIP: 89154L100 / Symbol:							
06/26/20	909.000	22,153.08	Various	21,528.36	...	624.72	Total of 4 transactions
06/26/20	303.000	7,574.79	06/26/20	7,665.90	91.11 W	0.00	Sale
	Security total:	29,727.87		29,194.26	91.11 W	624.72	
T2 BIOSYSTEMS INC COM / CUSIP: 89853L104 / Symbol: T2OO							
07/01/20	3,003.000	4,504.05	07/01/20	6,726.72	...	-2,222.67	Sale
VBI VACCINES INC CDA COM / CUSIP: 91822J103 / Symbol: VBIV							
06/26/20	3,003.000	8,858.29	06/26/20	9,098.75	...	-240.46	Sale
VENUS CONCEPT INC COM / CUSIP: 92332W105 / Symbol: VERO							
07/02/20	2,503.000	8,567.78	Various	19,319.68	...	-10,751.90	Total of 3 transactions
07/02/20	2,500.000	8,587.01	07/01/20	13,850.00	4,968.26 W	-294.73	Sale
	Security total:	17,154.79		33,169.68	4,968.26 W	-11,046.63	
WORKHORSE GROUP INC COM / CUSIP: 98138J206 / Symbol: WKHS							
06/30/20	6,316.000	114,075.54	Various	110,216.05	...	3,859.49	Total of 6 transactions
07/01/20	1,005.000	16,950.97	Various	19,497.00	...	-2,546.03	Total of 4 transactions
	Security total:	131,026.51		129,713.05	...	1,313.46	
WORLD SERIES OF GOLF INC COM / CUSIP: 98154X105 / Symbol: WSGF							
12/09/20	19,000.000	1,295.61	Various	670.50	...	625.11	Total of 2 transactions
WRAP TECHNOLOGIES INC COM / CUSIP: 98212N107 / Symbol: WRAP							
06/29/20	1,005.000	9,174.23	Various	9,949.50	...	-775.27	Total of 3 transactions
XUNLEI LIMITED ADR / CUSIP: 98419E108 / Symbol: XNET							
12/02/20	501.000	1,475.36	12/01/20	1,837.87	...	-362.51	Sale

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Account 270358295

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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YRC WORLDWIDE INC COM / CUSIP: 984249607 / Symbol: YRCW							
07/01/20	3,300.000	10,464.35	Various	14,310.22	...	-3,845.87	Total of 2 transactions
07/01/20	1,200.000	3,839.78	07/01/20	4,920.00	1,080.22 W	0.00	Sale
	Security total:	14,304.13		19,230.22	1,080.22 W	-3,845.87	
AMERICAN AIRLINES GROUP INC AAL Dec 31 2020 18.0 Call / CUSIP: / Symbol: AAL 12/31/20 C 18.000							
11/24/20	10.000	381.33	Various	146.64	...	234.69	Total of 2 transactions
APPLE INC AAPL Jun 18 2021 160.0 Call / CUSIP: / Symbol: AAPL 06/18/21 C 160.000							
11/30/20	6.000	1,345.98	11/23/20	1,059.98	...	286.00	Option sale
ADVANCED MICRO DEVICES INC AMD Dec 31 2020 105.0 Call / CUSIP: / Symbol: AMD 12/31/20 C 105.000							
11/30/20	6.000	626.00	11/23/20	393.98	...	232.02	Option sale
ALIBABA GROUP HOLDING LTD BABA Jan 15 2021 330.0 Call / CUSIP: / Symbol: BABA 01/15/21 C 330.000							
11/24/20	3.000	639.99	11/23/20	523.99	...	116.00	Option sale
CARNIVAL CORP CCL Nov 20 2020 17.0 Put / CUSIP: / Symbol: CCL 11/20/20 P 17.000							
11/20/20	1.000	0.00	11/19/20	19.66	...	-19.66	Option expiration
DAQO NEW ENERGY CORP DQ Jan 15 2021 42.0 Call / CUSIP: / Symbol: DQ 01/15/21 C 42.000							
11/23/20	1.000	379.33	11/20/20	570.66	...	-191.33	Option sale
FACEBOOK INC FB Dec 18 2020 310.0 Call / CUSIP: / Symbol: FB 12/18/20 C 310.000							
12/01/20	6.000	1,051.99	11/24/20	555.98	...	496.01	Option sale
FACEBOOK INC FB Dec 31 2020 315.0 Call / CUSIP: / Symbol: FB 12/31/20 C 315.000							
12/01/20	3.000	657.99	11/27/20	385.99	...	272.00	Option sale
ITERUM THERAPEUTICS PLC COM / CUSIP: G6333L101 / Symbol: ITRM							
11/24/20	3,303.000	2,179.54	11/23/20	2,017.82	...	161.72	Sale
11/25/20	781.000	613.85	Various	605.01	...	8.84	Total of 2 transactions
11/25/20	4,436.000	3,489.12	Various	3,486.60	74.56 W	77.08	Total of 4 transactions
12/04/20	2,400.000	1,956.12	Various	1,866.82	...	89.30	Total of 2 transactions
	Security total:	8,238.63		7,976.25	74.56 W	336.94	
ORIGIN AGRITECH COM / CUSIP: G67828205 / Symbol: SEED							
06/30/20	1,005.000	6,904.08	06/30/20	7,426.95	...	-522.87	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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SPI ENERGY CO LTD COM / CUSIP: G8651P110 / Symbol: SPI							
11/24/20	222.000	2,708.32	11/24/20	3,389.60	...	-681.28	Sale
TANTECH HOLDINGS LTD COM / CUSIP: G8675X107 / Symbol: TANH							
11/23/20	1,005.000	2,039.99	11/20/20	1,346.70	...	693.29	Sale
11/30/20	177.000	368.15	11/27/20	387.63	19.48 W	0.00	Sale
12/02/20	2,508.000	4,465.34	12/01/20	5,085.64	31.14 W	-589.16	Sale
12/09/20	130.000	198.13	12/08/20	236.02	...	-37.89	Sale
	Security total:	7,071.61		7,055.99	50.62 W	66.24	
MOMO INC MOMO Jan 21 2022 54.26 Call / CUSIP: / Symbol: MOMO 01/21/22 C 54.260							
11/30/20	10.000	223.33	11/23/20	206.64	...	16.69	Option sale
NIO INC NIO Nov 27 2020 60.0 Call / CUSIP: / Symbol: NIO 11/27/20 C 60.000							
11/24/20	2.000	194.67	11/23/20	129.33	...	65.34	Option sale
NIU TECHNOLOGIES NIU Dec 18 2020 35.0 Call / CUSIP: / Symbol: NIU 12/18/20 C 35.000							
12/18/20	3.000	0.00	11/24/20	847.99	...	-847.99	Option expiration
OVERSTOCK COM INC DEL OSTK Dec 18 2020 85.0 Call / CUSIP: / Symbol: OSTK 12/18/20 C 85.000							
12/18/20	5.000	0.00	11/20/20	828.32	...	-828.32	Option expiration
PFIZER INC PFE Jan 15 2021 39.0 Call / CUSIP: / Symbol: PFE 01/15/21 C 39.000							
11/30/20	6.000	967.99	11/23/20	519.98	...	448.01	Option sale
PALANTIR TECH INC PLTR Dec 18 2020 28.0 Call / CUSIP: / Symbol: PLTR 12/18/20 C 28.000							
11/24/20	1.000	254.33	11/23/20	75.66	...	178.67	Option sale
PALANTIR TECH INC PLTR Dec 18 2020 40.0 Call / CUSIP: / Symbol: PLTR 12/18/20 C 40.000							
12/18/20	12.000	0.00	11/25/20	3,667.97	...	-3,667.97	Option expiration
PALANTIR TECH INC PLTR Dec 24 2020 29.0 Call / CUSIP: / Symbol: PLTR 12/24/20 C 29.000							
11/24/20	5.000	1,256.64	11/23/20	428.32	...	828.32	Option sale
PALANTIR TECH INC PLTR Dec 24 2020 40.0 Call / CUSIP: / Symbol: PLTR 12/24/20 C 40.000							
11/30/20	4.000	1,197.30	11/25/20	586.66	...	610.64	Option sale

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

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NAKED BRAND GROUP LTD COM / CUSIP: Q6519T117 / Symbol: NAKD							
11/20/20	5,001.000	1,121.10	11/19/20	918.68	...	202.42	Sale
ELECTRAMECCANICA VEHS CORP SOLO Jan 20 2023 12.5 Call / CUSIP: / Symbol: SOLO 01/20/23 C 12.500							
11/24/20	2.000	-112.67	Various	0.00	...	-112.67	Total of 2 transactions
ROYAL CARIBBEAN GROUP COM / CUSIP: V7780T103 / Symbol: RCL							
06/24/20	300.000	14,401.15	06/24/20	15,031.84	...	-630.69	Sale
06/24/20	303.000	14,205.81	06/24/20	14,998.50	784.84 W	-7.85	Sale
	Security total:	28,606.96		30,030.34	784.84 W	-638.54	
Totals :		1,526,964.80		1,628,903.14	83,615.34 W	-18,323.00	

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Account 270358295

Detail for Interest Income

2020

01/14/2021

This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled in the Adjustments to Interest and Original Issue Discount and are not reported to the IRS.

To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Credited		06/30/20	0.02	Credit interest	
		07/31/20	0.03	Credit interest	
		09/30/20	0.01	Credit interest	
		10/30/20	0.06	Credit interest	
		11/30/20	0.01	Credit interest	
			0.13	Total Interest	
			0.13	Total Interest	

TD Ameritrade Clearing, Inc.

Account 270358295

Fees and Expenses

2020

01/14/2021

This section of your tax information statement contains the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Charged		06/30/20	-5.29	Margin interest paid	
		07/31/20	-33.16	Margin interest paid	
		08/31/20	-107.71	Margin interest paid	
		09/30/20	-113.25	Margin interest paid	
		10/30/20	-11.64	Margin interest paid	
		11/30/20	-43.71	Margin interest paid	
		12/31/20	-0.14	Margin interest paid	
			-314.90	Total Margin interest paid	
			-314.90	Total Margin interest paid	

Common Instructions for Recipient

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

Account number. May show an account or other unique number the payer assigned to distinguish your account.

Backup Withholding. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

Nominees. If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2019 General Instructions for Certain Information Returns.

FATCA filing requirement. If the FATCA filing requirement box is checked, the payer is reporting on Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

Keep tax documents for your records.**1099-INT Instructions for Recipient**

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

FATCA filing requirement. If the FATCA filing requirement line is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

Account number. May show an account or other unique number the payer assigned to distinguish your account.

Line 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

Line 2. Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction. **Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

Line 4. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

Line 5. Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

Line 6. Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

Instructions for Recipient

Line 7. Shows the country or U.S. possession to which the foreign tax was paid.

Line 8. Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 9. Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in line 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 10. For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Forms 1040 and 1040-SR. Market discount on a tax-exempt security is includable in taxable income as interest income.

Line 11. For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

Line 12. For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

Line 13. For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this line, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

Line 14. Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). **Lines 15-17.** State tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person(s), you are considered a nominee recipient.

Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. Future developments. For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099INT.

1099-B Instructions for Recipient

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual

taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

Account number. May show an account or other unique number the payer assigned to distinguish your account.

CUSIP number. Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

FATCA filing requirement. If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You may also have a filing requirement. See the Instructions for Form 8938.

Applicable checkbox on Form 8949. Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

Line 1a. Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

Line 1b. This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

Line 1c. Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

Line 1d. Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

Line 1e. Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

Box 1f. Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

Line 1g. Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

Line 2. The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

Line 3. If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund (QOF).

Line 4. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

Line 5. If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

Instructions for Recipient

Line 6. If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

Line 7. If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

Line 12. If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

Line 13. Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

Lines 14-16. Show state(s)/local income tax information.

Future developments. For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099B.